

Revised 06/2020 to incorporate a requirement made under NARA transmittal 31 to the introduction of General Records Schedule (GRS) 2.7, Employee Health and Safety Records, 5.3, Continuity and Emergency Planning Records, and GRS 5.6, Security Records, and

Revised 06/2018 to include GRS 2.7, Occupational Health Records *

NOAA Records Schedules

Chapter 900

Facility Security, Safety, Occupational Health, and Continuity and Emergency Planning Files

- ***For Non-occupational health records, please refer to Chapter 306 of NOAA Records Schedules.***

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GENERAL RECORDS SCHEDULE 5.6: Security Records

This schedule covers records about protecting an organization's personnel, assets, and facilities. Activities include: security operations for protecting agency facilities, staff, and property, managing personnel security, and insider threat protection.

Excluded from this schedule are records of offices with law enforcement as the primary function or where criminal investigations are carried out by Federal criminal investigators (special agents) with law enforcement powers.

Related records are covered elsewhere in the GRS. Records about securing data and information systems are listed in GRS 3.2, Information Systems Security Records, NOAA Series # 2400 of this handbook. Records about protecting and accessing information are covered in GRS 4.2, Information Access and Protection Records, NOAA Series # 205-04.

For GRS 5.6, Security Records, agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule. **NEW**

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
901	Facility and Physical Security Records.			
901-01	Interagency Security Committee Member Records.	<p>Records are agency copies of committee records documenting the administration, operation, and decisions of the committee. Includes:</p> <ul style="list-style-type: none"> • agendas • meeting minutes • best practice and standards documents • funding documents for security countermeasures <p>Exclusion: Records documenting the committee's establishment, organization, policy, membership, meetings, findings, recommendations, and accomplishments maintained by the Department of Homeland Security (DHS). DHS covers these records under an agency-specific schedule.</p>	<p>DAA-GRS- 2017-0006-0009 (GRS 5.6, item 070)</p> <p><i>New Item</i></p>	<p>TEMPORARY. Destroy when 10 years old, but longer retention is authorized if required for business use.</p>
901-02	Facility Security Assessment Records.	Surveys and inspections of security and safety measures at Government or privately-owned		

		<p>facilities assigned a security awareness status by Government agencies. Includes:</p> <ul style="list-style-type: none"> • facility notes • inspector notes and reports • vulnerability assessments 		
		<p>a. Areas requiring highest level security awareness.</p> <p>Includes areas designated by the Interagency Security Committee as Facility Security Level V.</p>	<p>DAA-GRS- 2017-0006-0010 (GRS 5.6, item 080)</p> <p><i>Supersedes NOAA Schedule Items:</i></p> <p><i>904-12, Survey and Inspection Files (Privately Owned Facilities), GRS 18, item 10 (in part); and</i></p> <p><i>904-15, Survey and Inspection Files (Government Owned Facilities, GRS 18, item 9 (in part)</i></p>	<p>TEMPORARY.</p> <p>Destroy 5 years after updating the security assessment or terminating the security awareness status, whichever is sooner, but longer retention is authorized if required for business use.</p>
		<p>b. All other facility security areas.</p> <p>Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.</p>	<p>DAA-GRS- 2017-0006-0011 (GRS 5.6, item 081)</p> <p><i>Supersedes NOAA Schedule Items:</i></p>	<p>TEMPORARY.</p> <p>Destroy 3 years after updating the security assessment or terminating the security awareness status, whichever is</p>

			<p><i>904-12, Survey and Inspection Files, (GRS 18, item 10 in part); and</i></p> <p><i>904-15, GRS 18, Survey and Inspection Files - Government Owned Facilities, (GRS 18, item 9 (in part)).</i></p>	<p>sooner, but longer retention is authorized if required for business use.</p>
901-03	Records of Routine Security Operations.	<p>Records about detecting potential security risks, threats, or prohibited items carried onto Federal property or impacting assets, including records documenting access control, screening, patrol and response, and control center operations. Includes:</p> <ul style="list-style-type: none"> • control center key or code records • registers of patrol and alarm services • service reports on interruptions and tests • emergency alarm contact call lists • temporary identification cards • correspondence or lists of facility occupants authorized to enter with a prohibited or controlled item on an identified date • round and perimeter check reports, including facility patrol tour data 	<p>DAA-GRS- 2017-0006-0012 (GRS 5.6, item 090)</p> <p><i>Supersedes NOAA Schedule Items:</i></p> <p><i>901-03, Records of Routine Security Operations (GRS 5.6, item 090), Previously;</i></p> <p><i>904-11a, Facilities Checks Files – Data sheets, door slip summaries, check sheets, and guard report on security violations, (GRS 18, item 18a);</i></p>	<p>TEMPORARY. Destroy when 30 days old, but longer retention is authorized if required for business use.</p>

		<ul style="list-style-type: none"> • surveillance records o recordings of protective mobile radio transmissions o video surveillance recordings o closed circuit television (CCTV) records • door slip summaries <p>Exclusion: Law enforcement officer-related records, which are covered by agency-specific schedules.</p> <p>Note: Records of accidents and incidents are covered under item 100, NOAA Series # 901-04, and records of visitor processing are covered under items 110, NOAA Series # 901-05a, and 111, NOAA Series # 901-05b.</p>	<p><i>904-11b, Facilities Checks Files – reports of routine after-hours security violations that do not reflect security violation, (GRS 18, item 18b);</i></p> <p><i>904-09a, Guard Service Control Files – center key or code records, emergency calls, etc., (GRS 18, item 19a);</i></p> <p><i>904-09b, Guard Service Control Files – round reports, punch clock dial sheets, etc., (GRS 18, item 19b);</i></p> <p><i>904-09c, Guard Service Control Files –automatic machine patrol charts and registers, etc., (GRS 18, item 19c);</i></p> <p>GRS 21, item 11, Routine Surveillance Footage; and</p> <p>GRS 21, item 18, Routine Surveillance Footage.</p>	
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901-04	Accident and Incident Records.	<p>Records documenting accidents and incidents occurring on, in, or at Government-owned or - leased facilities, vehicles (land, water, and air), and property used by Federal agencies. Includes:</p> <ul style="list-style-type: none"> • statements of witnesses • warning notices • records about arrests, commitments, and traffic violations • accident and incident reports • law enforcement agency requests for information <p>Exclusion 1: Records of the Federal Aviation Administration (FAA) and the National Transportation Safety Board (NTSB) relating to aircraft used by Federal agencies, including leased aircraft used by Federal agencies. The FAA and NTSB cover these records under agency-specific schedules.</p> <p>Exclusion 2: Workers' compensation (personnel injury compensation) records. GRS 2.4, Employee Compensation and Benefits Records, items 100, NOAA Series # 303-05a and 101, NOAA Series # 303-05b, of this handbook covers these records.</p> <p>Exclusion 3: Records that vehicle management offices maintain about vehicle and vessel accidents—</p>	<p>DAA-GRS- 2017-0006-0013 (GRS 5.6, item 100)</p> <p><i>Supersedes NOAA Schedule Items:</i></p> <p><i>901-04, Accident and Incident Records (GRS 5.6, item 100), previously;</i></p> <p><i>901-04, Accident and Incident Records (GRS 10, item 13);</i></p> <p><i>904-13, Police Functions Files, GRS 18, item 14a;</i></p> <p><i>904-13, Police Functions Files, GRS 18, item 14b;</i></p> <p><i>904-13, Police Functions Files, GRS 18, item 14c;</i></p> <p><i>904-17, Investigative Files, GRS 18, Item 11;</i></p> <p><i>905-10, Safety Complaint Files;</i></p> <p><i>905-11, Eye Exam Files, N1-370-75-003, item 8.</i></p>	<p>TEMPORARY.</p> <p>Destroy 3 years after final investigation or reporting action or when 3 years old, whichever is later, but longer retention is authorized for business use.</p>
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		land, water, and air. GRS 5.4, Facility, Equipment, Vehicle, Property, and Supply Records, item 140, NOAA Series # 905-06 covers these records.	905-10, <i>Safety Compliant Files, GRS 18, item 11</i> ; 905-13, Individual Accident Report, <i>GRS 18, item 11</i>	
901-05	Visitor Processing Records.	Registers or logs recording names of outside contractors, service personnel, foreign national and other visitors, employees admitted to areas, and reports on vehicles and passengers. Note: <i>GRS 4.2, Information Access and Protection Records, item 030, NOAA Series # 205-04 of this handbook covers requests and authorizations for individuals to have access to classified files.</i>		
		a. Areas requiring highest level security awareness. Includes areas designated by the Interagency Security Committee as Facility Security Level V.	DAA-GRS- 2017-0006-0014 (GRS 5.6, item 110) <i>Supersedes NOAA Schedule Items:</i> <i>904-07, Visitor Control Files (GRS 18, item 17a);</i> <i>904-14a, Logs and Registers- Central guard office master logs (GRS 18, item 20a (in part); and</i> <i>904-14b, Individual guard post logs of</i>	TEMPORARY. Destroy when 5 years old, but longer retention is authorized if required for business use.

			<i>occurrence entered in master logs (GRS 18, item 20b (in part))</i>	
		<p>b. All other facility security areas.</p> <p>Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.</p>	<p>DAA-GRS- 2017-0006-0015 (GRS 5.6, item 111)</p> <p><i>Supersedes NOAA Schedule Items:</i></p> <p><i>904-07b, Visitor Control Files – For other areas, (GRS 18, item 17b);</i></p> <p><i>904-14, Logs and Registers – Central guard office master logs, (GRS 18, item 20a (in part)); and</i></p> <p><i>904-14, Logs and Registers – Individual guard post logs of occurrences entered in master logs (GRS 18, item 20b (in part))</i></p>	<p>TEMPORARY.</p> <p>Destroy when 2 years old, but longer retention is authorized if required for business use.</p>
901-06	Personal Identification Credentials and Cards.	Records about credential badges (such as smart cards) that are (1) based on the HSPD- 12 standards for identification cards issued to Federal employees, contractors, and affiliates, and (2) used to verify the		

		<p>identity of individuals seeking physical access to Federally controlled Government facilities, and logical access to Government information systems. Also referred to as Common Access Cards (CAC) cards, Personal Identity Verification (PIV) cards, and Homeland Security Presidential Directive 12 (HSPD-12) credentials.</p> <p>Exclusion: Records of certain classes of Government employee identification cards, such as those covered under special-risk security provisions or 44 U.S.C. Section 3542, are covered by agency-specific schedules.</p>		
		<p>a. Application and activation records.</p> <p>Applications and supporting documentation, such as chain-of-trust records, for identification credentials. Includes:</p> <ul style="list-style-type: none"> • application for identification card • a log of activities that documents who took the action, what action was taken, when and where the action took place, and what data was collected • lost or stolen credential documentation or police report <p>Note 1: <i>GRS 3.2, Information Systems Security Records, NOAA Series # 2400 of this handbook, covers applications for access to information</i></p>	<p>DAA-GRS- 2017-0006-0016 (GRS 5.6, item 120)</p> <p><i>Supersedes GRS Schedule Items:</i></p> <p><i>904-01, Building Identification Credential Files (GRS 11, item 4a (in part));</i></p> <p><i>GRS 21, item 2 (in part)- Personnel Identification or Passport Photographs; and</i></p> <p><i>NOAA Schedule Item:</i></p>	<p>TEMPORARY.</p> <p>Destroy mandatory and optional data elements housed in the agency identity management system and printed on the identification card 6 years after terminating an employee or contractor's employment, but longer retention is authorized if</p>

		<p>systems.</p> <p>Note 2: Agencies must offer any records created prior to January 1, 1939, to the National Archives and Records Administration (NARA) before applying this disposition authority. NEW</p>	<p>904-02, Credential Roster Files, (GRS 11, item 4b (in part)</p>	<p>required for business use.</p>
		<p>b. Cards.</p>	<p>DAA-GRS- 2017-0006-0017 (GRS 5.6, item 121)</p> <p>New Item</p>	<p>TEMPORARY. Destroy after expiration, confiscation, or return.</p>
901-07	Local Facility Identification and Card Access Records.	<p>Temporary employee, contractor, and occasional visitor facility and network identification access card and identity management system records. Identification verification credentials issued by facility or building managers to provide local verification credentials and cards issued by facility or building managers to provide local identification and access. Includes:</p> <ul style="list-style-type: none"> • temporary identification cards issued to temporary employees, contractors, and occasional visitors who do not meet the FIPS 201 Standard requirements for PIV issuance • supplemental cards issued to access elevators • personnel identification records stored in an identity management system for temporary card issuance 	<p>DAA-GRS- 2017-0006-0018 (GRS 5.6, item 130)</p> <p><i>Supersedes NOAA Schedule Items:</i></p> <p>901-07, Local Facility Identification and Card Access Records, (5.6, item 130), previously;</p> <p>904-01, Building Identification Credential Files, (GRS 11, item 4a);</p> <p>904-02, Credential Roster Files – Receipts, indices, listings, and accountable records,</p>	<p>TEMPORARY. Destroy upon immediate collection once the temporary credential or card is returned for potential reissuance due to nearing expiration or not to exceed 6 months from time of issuance or when individual no longer requires access, whichever is sooner, but longer retention is authorized if</p>

		<ul style="list-style-type: none"> • parking permits <p>Note: Agencies must offer any records created prior to January 1, 1939, to the National Archives and Records Administration (NARA) before applying this disposition authority. NEW</p>	<p><i>(GRS 11, item 4b in part); and</i></p> <p><i>GRS 21, item 2 (in part)</i></p> <p><i>Personnel Identification or Passport Photographs</i></p>	required for business use.
901-08	Sensitive Compartmented Information Facility (SCIF) Accreditation Records.	<p>Physical security plans for SCIF construction, expansion, or modification. Includes:</p> <ul style="list-style-type: none"> • initial Fixed Facility Checklist • pre-accreditation inspection report • Construction Security Plan (CSP) • TEMPEST Checklist 	<p>DAA-GRS- 2017-0006-0019</p> <p>(GRS 5.6, item 140)</p> <p>New Item</p>	<p>TEMPORARY.</p> <p>Destroy when SCIF receives final accreditation, but longer retention is authorized if required for business use.</p>
901-09	Sensitive Compartmented Information Facility (SCIF) Inspection Records.	<p>Inspection records required by Intelligence Community Directive (ICD) 705. Includes:</p> <ul style="list-style-type: none"> • Fixed Facility Checklists • accreditation authorization documents • inspection reports, including Technical Surveillance Counter Measures (TCSM) reports, for the entire period of SCIF accreditation • operating procedures • Special Security Officer/Contractor Special Security Officer (SSO/CSSO) appointment letters 	<p>DAA-GRS- 2017-0006-0020</p> <p>(GRS 5.6, item 150)</p> <p>New Item</p>	<p>TEMPORARY.</p> <p>Destroy when 5 years old or after SCIF has been de-accredited for at least one year, whichever occurs sooner, but longer retention is authorized if required for business use.</p>

		<ul style="list-style-type: none"> • memoranda of agreements (MOAs) • Emergency Action Plans • copies of any waivers granted by the Cognizant Security Authority (CSA) • co-utilization approvals 		
901-16	Canine (K-9) Service Records.	<p>Records documenting acquisition, training, activities, care, and retirement of canine partners. Includes:</p> <ul style="list-style-type: none"> • acquisition records • breeder and lineage records • vaccination and medical history records • microchip number and identification records • deficiencies/remedies • training courses taken and resulting grades and certifications • initial report of positive detections and bite incidents • end-of-service documentation (through retirement or death) 	<p>DAA-GRS- 2017-0006-0021 (GRS 5.6, item 160)</p> <p><i>New Item</i></p>	<p>TEMPORARY. Destroy when superseded or obsolete, or 3 years after dog is released from service, whichever is sooner, but longer retention is authorized if required for business use.</p>

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
902	Personnel Security Records.	Agencies that rely on another agency to conduct investigations should use item 170, and agencies that conduct its own investigations under authority delegated from the Office of Personnel Management (OPM) or similar organization should use item 171		
902-01	Personnel Security Investigative Reports.	Investigative reports and related documents agencies create or use to support initial favorable eligibility determinations, fitness determinations, and periodic reinvestigations, or to implement a continuous evaluation program.		
		a. Personnel suitability and eligibility investigative reports.	DAA-GRS- 2017-0006-0022 (GRS 5.6, item 170) <i>Supersedes NOAA Schedule Item:</i> <i>904-01, GRS 18, item 22b, Personnel Security Files - Investigative reports and related documents furnished to agencies by investigative organizations for use in making</i>	TEMPORARY. Destroy in accordance with the investigating agency instruction.

			security/suitability determinations	
		b. Reports and records created by agencies conducting investigations under delegated investigative authority.	DAA-GRS- 2017-0006-0023 (GRS 5.6, item 171) <i>New Item</i>	TEMPORARY. Destroy in accordance with delegated authority agreement or memorandum of understanding.
902-02	Personnel Security and Access Clearance Records.	Records about security clearances, and other clearances for access to Government facilities or to sensitive data, created to support initial favorable eligibility determinations, periodic reinvestigations, or to implement a continuous evaluation program. Includes: <ul style="list-style-type: none"> • questionnaires • summaries of reports prepared by the investigating agency • documentation of agency adjudication process and final determination <p><i>Note: GRS 3.2, Information Systems Security Records, items 030, NOAA Series # 2400-03a, and 031, NOAA Series # 2400-03b, covers information system access records.</i></p>		
		a. Records of people not issued clearances.	DAA-GRS- 2017-0006-0024	TEMPORARY. Destroy 1 year after

		Includes case files of applicants not hired. Exclusion: Copies of investigative reports covered in items 170, NOAA Series # 902-01a, and 171, NOAA Series 902-01b.	(GRS 5.6, item 180) New Item	consideration of the candidate ends, but longer retention is authorized if required for business use.
		b. Records of people issued clearances. Exclusion: Copies of investigative reports covered in items 170, NOAA Series # 902-201a, and 171, NOAA Series 902-01b.	DAA-GRS- 2017-0006-0025 (GRS 5.6, item 181) <i>Supersedes GRS Schedule Item:</i> <i>GRS 18, item 22a, Statistical Summaries.</i>	TEMPORARY. Destroy 5 years after employee or contractor relationship ends, but longer retention is authorized if required for business use.
902-03	Index to the Personnel Security Case Files.	Lists or reports showing the current security clearance status of individuals.	DAA-GRS- 2017-0006-0026 (GRS 5.6, item 190) <i>Supersedes GRS Schedule Item:</i> <i>GRS 18, item 22c, Index to the Personnel Security Case Files, and</i> <i>GRS 18, item 23, Personnel Security Clearance Status Files.</i>	TEMPORARY. Destroy when superseded or obsolete.
902-04	Information Security Violations Records.	Case files about investigating alleged violations of executive orders, laws, or agency regulations on	DAA-GRS- 2017-0006-0027 (GRS 5.6, item 200)	TEMPORARY. Destroy 5 years after

		<p>safeguarding national security information. Includes allegations referred to the Department whichever occurs sooner, but 0027 of Justice or Department of Defense. Includes final reports and products. Longer retention is authorized if required for business use.</p> <p>Exclusion 1: Documents placed in Official Personnel Folders. NOAA Series # 301, Employee Management Records, covers these records.</p> <p>Exclusion 2: Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.</p>	<p><i>Supersedes GRS Schedule Items:</i></p> <p><i>GRS 18, item 24a, Security Violations Files of a sufficiently serious nature.</i></p> <p><i>GRS 18, item 24b, All other security violation documents placed in official personnel folders.</i></p>	<p>close of case or final action, whichever occurs sooner, but longer retention is authorized if required for business use.</p>
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Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
903	Insider Threat Records.	An insider threat is the potential that an employee, contractor, or other person with authorized access to a Federal agency “will use his/her authorized access, wittingly or unwittingly, to do harm to the security of the United States. This threat can include damage to the United States through violent acts, espionage, terrorism, unauthorized disclosure of national security information, or through the loss, denial or degradation of departmental resources or capabilities” (Defense Security Service Regulation, Number 05-06, January 30, 2014, page 14).		
903-01	Insider Threat Administrative and Operations Records.	<p>Records about insider threat program and program activities. Includes:</p> <ul style="list-style-type: none"> • correspondence related to data gathering • briefing materials and presentations • status reports • procedures, operational manuals, and related development records • implementation guidance 	<p>DAA-GRS- 2017-0006-0028 (GRS 5.6, item 210)</p> <p><i>New Item</i></p>	<p>TEMPORARY. Destroy when 7 years old, but longer retention is authorized if required for business use.</p>

		<ul style="list-style-type: none"> • periodic inventory of all information, files, and systems owned • plans or directives and supporting documentation, such as: <ul style="list-style-type: none"> o independent and self-assessments o corrective action plans o evaluative reports <p>Note: <i>GRS 2.6, Employee Training Records, NOAA Series # 203-04, covers records on mandatory employee training about inside threats.</i></p>		
903-02	Insider Threat Inquiry Records.	<p>Records about insider threat program inquiries initiated or triggered due to derogatory information or occurrence of an anomalous incident. Includes initiated and final reports, referrals, and associated data sets.</p> <p>Exclusion: Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.</p>	<p>DAA-GRS- 2017-0006-0029 (GRS 5.6, item 220)</p> <p>New Item</p>	<p>TEMPORARY. Destroy 25 years after close of inquiry, but longer retention is authorized if required for business use.</p>
903-03	Inside Threat Information	<p>Insider threat information. Data collected and maintained by insider threat programs undertaking analytic and risk-based data collection activities to implement insider threat directives and standards. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Counterintelligence and security information <ul style="list-style-type: none"> o personnel security files 	<p>DAA-GRS- 2017-0006-0030 (GRS 5.6, item 230)</p> <p>New Item</p>	<p>TEMPORARY. Destroy 25 years after close of inquiry, but longer retention is authorized if</p>

		<ul style="list-style-type: none"> ○ polygraph examination reports ○ facility access records, including visitor records ○ security violation files ○ travel records ○ foreign contact reports ○ financial disclosure filings ○ referral records ○ intelligence records ● Information assurance information <ul style="list-style-type: none"> ○ personnel usernames and aliases ○ levels of network access ○ levels of physical access ○ enterprise audit data which is user attributable ○ unauthorized use of removable media ○ print logs ● Human resources information <ul style="list-style-type: none"> ○ personnel files ○ payroll and voucher files ○ outside work and activities requests ○ disciplinary files ○ personal contact records ○ medical records/data ● Investigatory and law enforcement information <ul style="list-style-type: none"> ○ statements of complainants, informants, suspects, and witnesses ○ agency, bureau, or department data ● Public information <ul style="list-style-type: none"> ○ Court records ○ private industry data ○ personal biographical and identification data, including U.S. Government name check data ○ generic open source and social media data 		<p>required for business.</p>
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		<p>Exclusion: Case files of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.</p>		
903-04	Insider Threat User Activity Monitoring (UAM) Data.	<p>User attributable data collected to monitor user activities on a network to enable insider threat programs and activities to:</p> <ul style="list-style-type: none"> • identify and evaluate anomalous activity involving National Security Systems (NSS) • identify and assess misuse (witting or unwitting), or exploitation of NSS by insiders • support authorized inquiries and investigations <p>Exclusion: Records of any subsequent investigations are covered under agency-specific schedules, such as Office of the Inspector General schedules.</p> <p>Legal authority: CNSSD No. 504, 4 February 2014</p>	<p>DAA-GRS- 2017-0006-0031 (GRS 5.6, item 240)</p> <p><i>New Item</i></p>	<p>TEMPORARY. Destroy no sooner than 5 years after inquiry has been opened, but longer retention is authorized if required for business use.</p>

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
904	Facility Security Files	Records protecting an organization's personnel, assets, and facilities.		
904-01	Security Administrative Records.	<p>Records about routine facility security, protective services, and personnel security program administration. Includes:</p> <ul style="list-style-type: none"> • status reports on cleared individuals and other reports • staffing level and work planning assessments, such as guard assignment records • standard operating procedures manuals 	<p>DAA-GRS-2017-0006-0001 (GRS 5.6, item 010)</p> <p><i>Supersedes NOAA Schedule Items:</i></p> <p><i>904-01, Security Administrative Records, (GRS 5.6, item 010);</i> previously -</p> <p><i>904-08a, Security Administrative Records, GRS 18, item 13a;</i></p> <p><i>904-08b, Security Administrative Records, GRS 18, item 13b;</i></p> <p><i>GRS 18, item 21, Security Clearance Administrative Subject Files; and</i></p> <p><i>GRS 18, item 8, Security and Protective Services</i></p>	<p>TEMPORARY. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>

			Administrative Correspondence Files	
904-02	Key and Card Access Accountability Records.	Records accounting for keys and electronic access cards.		
		a. Areas requiring highest level security awareness. Includes areas designated by the Interagency Security Committee as Facility Security Level V.	DAA-GRS-2017-0006-0002 (GRS 5.6, item 020) <i>Supersedes NOAA Schedule Items: 904-02, Key and Card Access Accountability Records, GRS 18, item 16a</i>	TEMPORARY. Destroy 3 years after return of key, but longer retention is authorized if required for business use.
		b. All other facility security areas. Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.	DAA-GRS-2017-0006-0003 (GRS 5.6, item 021) <i>Supersedes NOAA Schedule Item: 904-03a, Key and Card Access Accountability Files, GRS 18, item 16b</i>	TEMPORARY. Destroy 6 months after return of key, but longer retention is authorized if required for business use.
904-03	Uniform and Equipment Tracking Records.	Records tracking uniforms and equipment issued to security personnel, including: • firearms (type, serial number, manufacturer,	DAA-GRS- 2017-0006-0004 (GRS 5.6, item 030)	TEMPORARY. Destroy 3 months after return of equipment, but

		<p>caliber, firearm registration date, storage location data, etc.)</p> <ul style="list-style-type: none"> • communication devices issued to security personnel such as mobile radios and walkie-talkies • body armor such as bullet-proof vests • police baton and holder • handcuffs and keys 	<p><i>Supersedes NOAA Schedule Items:</i></p> <p><i>904-03, Uniform and Equipment Tracking Records, (GRS 5.6, item 030), previously;</i></p> <p><i>904-09d, Arms distribution sheets, charge records, and receipts, (GRS 18, item 19d); and</i></p> <p><i>904-10, Arms Control Files (GRS 18, item 19d)</i></p>	<p>longer retention is authorized if required for business use.</p>
904-04	Property Pass Records.	Records authorizing removal of Government and privately- owned property or materials off premises owned or leased by the Federal Government. Also includes hand receipts when used by staff to physically remove property.	<p>DAA-GRS- 2017-0006- 0005 (GRS 5.6, item 040)</p> <p><i>Supersedes NOAA Schedule Items:</i></p> <p><i>904-04, Property Pass Records, (GRS 5.6, item 040), previously;</i></p> <p><i>904-06 Property Pass Files (GRS 18, item 12)</i></p>	<p>TEMPORARY. Destroy 3 months after expiration or revocation, but longer retention is authorized if required for business use.</p>
904-05	Records of Credit Card Abuse and	Records about irregularities in handling mail and improper use or misuse of telephone calling cards	<p>DAA-GRS- 2017-0006- 0006 (GRS 5.6, item 050)</p>	<p>TEMPORARY. Destroy 3 years after</p>

	Postal Irregularities.	<p>and Government charge or purchase cards. Includes:</p> <ul style="list-style-type: none"> • postal irregularities reports, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail • semi-annual reports on Government charge card violations. <p>Exclusion: Mail service records; covered under GRS 5.5, Mail, Printing, and Telecommunication Service Management Records, item 020, NOAA Series# 1004-08.</p>	<p><i>Supersedes NOAA Schedule Items:</i></p> <p>904-05, Records of Credit Card Abuse and Postal Irregularities (GRS 5.6, item 050), previously;</p> <p><i>1109-09, Postal Irregularities Files, GRS 12, item 8 in part.</i></p>	<p>completion of investigation or when 3 years old, whichever is later, but longer retention is authorized if required for business use.</p>
904-06	Unclaimed Personal Property Records.	<p>Records accounting for non-Government, personally owned property lost, abandoned, unclaimed, or believed stolen on premises owned or leased by the Federal Government. Includes:</p> <ul style="list-style-type: none"> • lost-and-found logs and release forms • loss statements • receipts • reports 		
		<p>a. Records for property valued over \$500. Legal Citation: 41 CFR 102 41.130</p>	<p>DAA-GRS- 2017-0006- 0007 (GRS 5.6, item 060)</p> <p><i>Supersedes NOAA Schedule Items:</i></p>	<p>TEMPORARY. Destroy when 3 years old or 3 years after the date title to the property vests in</p>

			<p><i>904-06, Unclaimed Personal Property Records valued over \$500, (GRS 5.6, item 060) and</i></p> <p><i>904-06, Unclaimed Personal Property Records valued at \$500 or less), previously;</i></p> <p><i>904-06, Unclaimed Personal Property Records valued over \$500, (GRS 18, item 15a in part); and</i></p> <p><i>904-06, Unclaimed Personal Property Records valued at \$500 or less, (GRS 18, item 15b in part)</i></p>	<p>the Government, but longer retention is authorized if required for business use.</p>
		<p>b. Records for property valued at \$500 or less. Legal citation: 41 CFR 102-41.130</p>	<p>DAA-GRS- 2017-0006- 0008 (GRS 5.6, item 061)</p> <p><i>Supersedes NOAA Schedule Items:</i></p>	<p>TEMPORARY. Destroy 30 days after the property is found, but longer retention is authorized if</p>

			<p><i>904-06, Unclaimed Personal Property Records valued at \$500 or less, (GRS 5.6, item 061), Previously;</i></p> <p><i>904-06, Personal Property Loss Ledgers (GRS 18, item 15a in part) and</i></p> <p><i>904-05, Personal Property Loss Files (GRS 18, item 15b in part)</i></p>	<p>required for business use.</p>
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GENERAL RECORDS SCHEDULE 2.7: Employee Health and Safety Records

This schedule covers records about employee health and safety functions within Federal agencies. This schedule applies only to civilian health records, although in both civilian and military agencies. Military healthcare management follows very different processes and creates records that are unique to only a few agencies. Therefore these records are not covered in the GRS.

Health and Safety Committee records are covered by GRS 5.1, item 030, Records of non-mission related internal agency committees, see Series # 905-02 below.

Agency-specific records schedules address records of mission-related Federal research, monitoring, standard-setting and enforcement activities to ensure environmental protection, occupational safety, and public health.

For GRS 2.7, Employee Health and Safety Records, agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule. **NEW**

Please note: Series # 306, Employee Health and Safety Records, of this handbook covers Non-Occupational Health Records, **including clinic scheduling records for both occupational and non-occupational records.**

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
905	Safety Files	<p>These files relate to programs to promote the safety of personnel and property, and reports and investigations resulting from accidents of reports of potential accidents. Not included among these files are driver's test (see 1003-09), diving program records (see 1805), or environment and energy matters (see specific subfunction for these files).</p>		
905-01	Occupational Injury and Illness Program Records.	<p>Records documenting the planning, management, reporting, and routine operations undertaken by occupational health and safety organizations.</p> <p>Includes:</p> <ul style="list-style-type: none"> • miscellaneous reports, annual summaries or reports to the Secretary of Labor • correspondence with internal agency offices and Occupational Safety and Health Administration (OSHA) • OSHA 300 Log • OSHA 301 Incident Report • OSHA 300A Summary or equivalent 	<p>DAA-GRS-2017-0010- 0002 (GRS 2.7, item 020)</p> <p><i>Supersedes NOAA Series Items:</i></p> <p>905-01, Safety Program Structure Files;</p> <p>905-03, Interagency Liaison Files;</p> <p><i>905-06, Accident and Fire Prevention Files, NC-370-75-003, item 4</i></p>	<p>TEMPORARY.</p> <p>Destroy when 6 years old, but longer retention is authorized if needed for business use.</p>

		<p>Exclusion: Workers' Compensation (personnel injury compensation) records are covered under items 100 and 101 of GRS 2.4, Employee Compensation and Benefits Records, see NOAA Chapter 303 of this handbook.</p> <p>Legal Citations: 29 CFR Part 1904.33 and 29 CFR Part 1960.69.</p>	<p><i>of Safety Records (8-29-75);</i></p> <p><i>905-07, Promotional Campaign Files, NC-370-75-003, item 4 of Safety Records (8-29-75);</i></p> <p><i>905-14, General Accident and Safety Report Files, GRS 1, item 34; and</i></p> <p><i>905-18, Reports to Environmental Protection Agency.</i></p>	
905-02	Safety Councils and Committees.	<p>Records created and maintained by committees established by an agency for facilitative or operational purposes unrelated to the agency's mission, such as organizing events, selecting interior furnishings, overseeing volunteer activities, or employee recreational activities. Records include:</p> <ul style="list-style-type: none"> • meeting minutes, summaries, agendas, and transcripts • reports and studies • membership records 	<p>DAA-GRS-2016-0016- 0003 (GRS 5.1, item 030)</p> <p><i>Supersedes NOAA Series Item:</i></p> <p><i>905-02, Safety Councils and Committees</i></p>	<p>TEMPORARY. Destroy when business use ceases.</p>

		<ul style="list-style-type: none"> • correspondence, mailing, and distribution records <p>Exclusion: These items do not cover records of Federal Advisory Committee Act or interagency committees. GRS 6.2 covers Federal Advisory Committee Act committee records, see NOAA Series # 100-16b.</p> <p>Note: <i>Records of mission-related committees are potentially permanent and agencies must schedule them by an agency-specific records schedule.</i></p> <p>See Series # 100-19 of this handbook for files pertaining to participation in interagency committees.</p>		
905-03	Occupational Health and Safety Training Records.	<p>Records of health and safety-related training on topics such as cardiopulmonary resuscitation (CPR), automatic external defibrillators (AED), personal protective equipment (PPE) use, safe sampling techniques, personal decontamination procedures, and emergency response procedures.</p> <p>Exclusion 1: Records appropriate for long-term retention in an Official Personnel Folder, such as academic transcripts and professional licenses. GRS 2.2, Employee Management Records, item 040, NOAA Series # 301-04a, covers these.</p> <p>Exclusion 2: Training records related to job-specific activities or that may impact individual occupational health. Items 060 and 061, NOAA Series # 905-05a and 905-05b of this schedule cover these.</p>	<p>DAA-GRS-2017-0010- 0003 (GRS 2.7, item 030)</p> <p><i>Supersedes NOAA Series Item:</i></p> <p><i>905-16a, Safety Training Files - a. Training plans, text, outlines, and related training material; and</i></p> <p><i>905-16b, Safety Training Files - b. Other papers</i></p>	<p>TEMPORARY.</p> <p>Destroy 5 years after training participation or when superseded, whichever is applicable, but longer retention is authorized if required for business use.</p>

		Legal Citation: 29 CFR Part 1910.120 App E(9)		
905-04	Workplace Environmental Monitoring and Exposure Records.	<p>Results or measurements of monitoring workplace air, toxic substances, or harmful physical agents, including personal, area, grab, wipe, or other methods of sampling results.</p> <p>Note 1: Biological monitoring results, such as blood and urine analysis results, designated as exposure records by specific Occupational Safety and Health Administration (OSHA) standards are maintained as required by the specific standard governing their use. For more information, refer to 29 CFR 1910.1020(c)(5) – Employee exposure records and 29 CFR 1910.1020(c)(5)(ii).</p> <p>Note 2: These items are intended for agencies subject to Executive Order 12196, Occupational Safety and Health Programs for Federal Employees. Entities excluded from these requirements may use these items or agency specific schedules.</p>		
		<p>a. OSHA-regulated substance monitoring and exposure records.</p> <p>Area/general occupational exposure records and select carcinogen exposure records from hazardous chemical use in laboratories. Includes the Chemical Hygiene Plan. Exclusion: Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered</p>	DAA-GRS-2017-0010- 0004 (GRS 2.7, item 040)	TEMPORARY. Destroy no sooner than 30 years after monitoring is conducted, but longer retention is authorized if needed for business use.

		by item 060. Legal Citations: 29 CFR Part 1910.1020(d)(1)(ii) and 29 CFR Part 1910.1020(d)(1)(iii)		
		<p>b. Occupational noise monitoring and exposure records.</p> <p>Exculsion: Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060, NOAA Series # 905-05a. Legal Citation: 29 CFR Part 1910.95(m)(3)(i)</p>	DAA-GRS-2017-0010- 0005 (GRS 2.7, item 041)	TEMPORARY. Destroy no sooner than 2 years after monitoring is conducted, but longer retention is authorized if needed for business use.
		<p>c. Lead (Pb), Coke Oven emissions, Dibromochloropropane (DBCP), Acrylonitrile, and Inorganic Arsenic monitoring and exposure records.</p> <p>Exclusion: Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060, NOAA Series # 905-05a. Legal Citation: 29 CFR Part 1910.1045 App A(vi)(C)</p>	DAA-GRS-2017-0010- 0006 (GRS 2.7, item 042)	TEMPORARY. Destroy no sooner than 40 years after monitoring is conducted, but longer retention is authorized if needed for business use.
		<p>d. Background data.</p> <p>Records, such as consensus standards or other regulatory/nonregulatory documents, associated with related data. Note: Use of this item requires that the agency retains the sampling results, the collection methodology (sampling plan), a description of the analytical and mathematical methods used, and a</p>	DAA-GRS-2017-0010- 0007 (GRS 2.7, item 043)	TEMPORARY. Destroy no sooner than 1 year after monitoring is conducted, but longer retention is

		<p>summary of other background data relevant to interpretation of the results obtained, for at least thirty (30) years.</p> <p>Legal Citation: 29 CFR Part 1910.1020(d)(1)(ii)(A)</p>		authorized if needed for business use.
		<p>e. Safety Data Sheets (SDS).</p> <p>Includes other specified records concerning the identity of a substance or agent. These records were formerly called Material Safety Data Sheets (MSDS).</p> <p>Exclusion: Copies placed in individual occupational medical case files to document substances or agents to which employees are exposed are covered under item 060, NOAA Series # 905-05a of this schedule.</p> <p>Note: Based on OSHA requirements in 29 CFR 1910.1020 under paragraph (d)(1)(ii)(B), employers may discard safety data sheets if “some record of the identity (chemical name if known) of the substance or agent, where it was used, and when it was used is retained for at least thirty (30) years.” Then, an employer may discard the original data sheet and retain only the new data sheet if a record on the original formulation is maintained.</p> <p>Legal citation: 29 CFR Part 1910.1020(d)(1)(ii)(B)</p>	<p>DAA-GRS-2017-0010- 0008 (GRS 2.7, item 050)</p> <p><i>Supersedes NOAA Series Item:</i></p> <p>905-15, Data Bank Files, NC-370-75-003, item 3 of Safety Records. (8-29-75)</p>	<p>TEMPORARY. Destroy when business use ceases.</p>
905-05	Occupational Individual Medical Case Files.	These records are also referred to as Employee Medical Folders (EMFs), Occupational Safety and		

		<p>Health Administration (OSHA) medical records, and medical surveillance records. Includes:</p> <ul style="list-style-type: none"> • personal and occupational health histories • opinions and written evaluations generated in the course of diagnosis and employment-related treatment/ examination by medical health care professionals and technicians • employee-specific occupational exposure records, which include employee-specific occupational records (exposures include, but are not limited to, gases, liquids, vapors, mists, dust particles and noise) • employee audiometric testing records Note: For those entities subject to OPM's requirements, OPM determines which of these records are long-term and which are short-term records. For guidance on which records qualify for this category, follow OPM guidance. Other entities should follow agency policy. <p>Exclusion: Records of claims filed under the Federal Employees Compensation Act (FECA) are covered under GRS 2.4, items 100 and 101, see NOAA Series # 303-05a and 303-05b of this handbook.</p>		
		<p>a. Long-term records.</p> <p>Exclusion: Individual non-occupational medical records are covered by item 070, NOAA Series # 306-02.</p>	<p>DAA-GRS-2017-0010- 0009 (GRS 2.7, item 060)</p>	<p>TEMPORARY. Destroy 30 years after employee separation or when the Official</p>

		<p>Note 1: While non-occupational/patient records pertaining to an employee are not required to be included as a record within the individual occupational medical case files, under certain conditions, copies of such records are occupationally-related and, in those cases, may be included in the individual occupational medical case files. (5 CFR Part 293, Subpart E, Part 504)</p> <p>Note 2: For transferred employees subject to OPM’s requirements, see 5 CFR Part 293, Subpart E, Employee Medical File System Records, for implementing instructions.</p> <p>Note 3:</p> <p>For separated employees subject to OPM’s requirements, see 5 CFR Part 293, Subpart E, Employee Medical File System Records, for implementing instructions.</p> <p>Legal Citations: 5 CFR Part 293.511(b), 29 CFR 1910.1020(d)(1)(i), and 29 CFR Part 1910.95(m)(3)(ii).</p>		<p>Personnel Folder (OPF) is destroyed, whichever is longer.</p>
		<p>b. Short-term records.</p>	<p>DAA-GRS-2017-0010- 0010 (GRS 2.7, item 061)</p>	<p>TEMPORARY. Destroy 1 year after employee separation or transfer.</p>

		c. Individual employee health case files created prior to establishment of the Employee Medical File system in 1986.	DAA-GRS-2017-0010- 0011 (GRS 2.7, item 062)	TEMPORARY. Destroy 60 years after retirement to the NARA records storage facility.
905-06	Individual Accident Report.	Record Copy: <i>NOTE: Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.</i> NEW	DAA-GRS-2016-0011-0017 (GRS 5.4, item 140)	TEMPORARY. Destroy 3 years after case is closed, but longer retention is authorized if required for business use.
905-07	Safety Study Files.	Special studies conducted on safety hazards or problems, and recommended solutions.	NC-370-75-003 (8-29-75) <i>Supersedes NOAA Series Item:</i> <i>905-12, Safety Study Files, authorized under</i> NC-370-75-003 (8-29-75)	TEMPORARY. Cut off at end of calendar year when created. Destroy 15 years later unless the study is published, in which case written material may be destroyed 1 year after publication

905-08	Safety Equipment and Clothing Review Files.	Documents relating to the review of requests to purchase or be reimbursed for the purchase of equipment or clothing (such as safety shoes) needed for safety purposes.		TEMPORARY. Follow disposition for 702-03 of this handbook.
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Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
906	Continuity and Emergency Planning Files.	<p>This schedule covers records related to Federal agency internal emergency planning to protect people, government facilities, equipment, and records; safeguard classified or sensitive information; ensure continuity of agency operations in the face of potential natural and man-made disasters; and facilitate timely recovery and return to normal agency operations once the emergency or disaster has passed.</p> <p>Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule. NEW</p> <p>This schedule does not include the following:</p> <ul style="list-style-type: none"> • external emergency planning records related to providing emergency response and recovery services to the public • records related to high-level Government-wide Continuity of Government (COG) planning • emergency response planning related to mission activities in the agency, e.g. NASA emergency plans for when a rocket explodes • records related to a national disaster or incident response 		

		These records may be of permanent value and must be scheduled on an agency-specific records schedule.		
906-01	Continuity Planning and Related Emergency Planning Files.	<p>Records may include:</p> <ul style="list-style-type: none"> • records on continuity and emergency planning administrative and operational activities: <ul style="list-style-type: none"> ○ briefing materials and presentations ○ status reports ○ informational papers ○ files documenting policy or plan development, including policy studies ○ procedures, operational manuals, and related development records ○ implementation guidance ○ related correspondence ○ Memorandum (s) of Understanding ○ Delegations of Authority/Orders of Succession • continuity plans or directives and supporting documentation, including but not limited to: <ul style="list-style-type: none"> ○ Continuity of Operations (COOP) plans ○ Devolution Plans ○ Occupant Emergency Plans (OEP) ○ Emergency Action Plans (EAP) ○ Facility Emergency Action Plans (FEAPS) ○ Records Emergency Plans (REMT) ○ Disaster Recovery Plans (DRP) ○ Pandemic Influenza Plans • records on continuity or emergency tests or exercises, such as: <ul style="list-style-type: none"> ○ instructions to members participating in tests 	<p>DAA-GRS-2016-0004-0001 (GRS 5.3, item 010)</p> <p><i>Supersedes NOAA Schedule Items:</i></p> <p><i>905-04, Emergency Preparedness Files. (Civil Preparedness Files);</i></p> <p><i>905-05, Evacuation and Emergency Plan Files;</i></p> <p><i>905-08, Safety Drill Files; and</i></p> <p><i>905-09, Safety Survey Files</i></p>	<p>TEMPORARY.</p> <p>Destroy when 3 years old or 3 years after superseded or obsolete, whichever is applicable, but longer retention is authorized if required for business use.</p>

		<ul style="list-style-type: none">○ staffing assignments○ records of tests of communications and facilities● evaluative reports on continuity or emergency tests or exercises, such as:<ul style="list-style-type: none">○ result reports○ readiness reports○ risk and vulnerability assessments○ site evaluations and inspections○ corrective action plans○ after action reports/improvement plans <p>Note 1: Continuity or emergency plans that are acted upon in the event of a national emergency may be of permanent value. If an agency has such records that document response to significant events, it may submit a records schedule for NARA review. If an agency believes its continuity records generally warrant permanent retention, it must submit a records schedule to NARA to cover these records.</p> <p>Note 2: Records on employee training for COOP are scheduled in GRS 2.6. Records on essential records management are scheduled in GRS 4.1.</p> <p>Exclusion 1: This item does not include incident response records. These records may be of permanent value and should be scheduled by an agency-specific records schedule approved by NARA.</p>		
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		<p>Exclusion 2: This item does not include high-level Government-wide Continuity of Government (COG) records, although it can cover agency specific COG records.</p> <p>Exclusion 3: This item does not include the records of high-level officials (Capstone officials) as defined in GRS 6.1, item 010, or emergency plans that are part of a series of directives. Emergency plans issued as directives should be disposed of according to the disposition authority for agency directives</p>		
906-02	Employee Emergency Contact Information.	<p>Records used to account for and maintain communication with personnel during emergencies, office dismissal, and closure situations. Records include name and emergency contact information such as phone numbers or addresses. Records may also include other information on employees such as responsibilities assigned to the individual during an emergency situation.</p> <p>Exclusion: This item does not include employee directories that contain information about where employees are located in facilities and work phones numbers.</p>	DAA-GRS-2016-0004-0002 (GRS 5.3, item 010)	TEMPORARY. Destroy when superseded or obsolete, or upon separation or transfer of employee.